IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant(s): Porras, et al.   Case: SRI/3928-9

Serial No.:   10/805,729   Filed: March 22, 2004

Examiner: Group Art Unit: 2184

Title: NETWORK SURVEILLANCE

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S I R:

Disclosure Statement under 37 CFR 1.56 and 1.98

Pursuant to 37 CFR 1.56, the documents listed on the attached form PTO-1449 are disclosed.

Pursuant to 37 CFR 1.98(d), the documents listed on PART A of the PTO-1449 were previously cited by or submitted with a Disclosure Statement in a prior application that is relied upon by the above-identified Continuation application for an earlier filing date under 35 U.S.C. 120. As such, the documents may be found in the file wrapper of U.S. patent application serial number 10/254,457, Filed on September 25, 2002, now U.S. Patent 6,711,615 issued March 23, 2004; and U.S. Patent Application serial number 09/658,137, filed on September 8, 2000, now U.S. Patent 6,484,203 issued November 19, 2002; and U.S. patent application serial number 09/188,739, filed on November 9, 1998, now U.S. Patent 6,321,338 issued November 20, 2001. Inclusion of these documents on any patent issuing from this Continuation application is respectfully requested. Under rule 37 C.F.R.
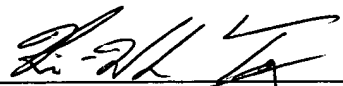
1.98(a), the applicant submits that no specific comments are necessary for any of the cited English language publications.

Pursuant to 37 CFR 1.98(a), the documents listed on PART B of the PTO-1449 are submitted herewith after the period specified in 37 CFR 1.97(c), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782..
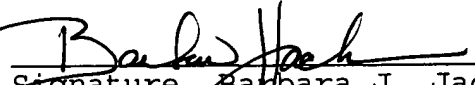
Respectfully submitted

_10/20/04_   By: _____
Date   Kin-Wah Tong, ~~Esq.~~
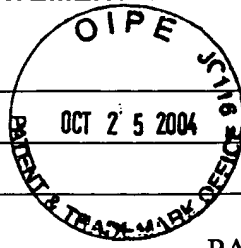   Reg. No. 39,400

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CERTIFICATE OF MAILING under 37 C.F.R. 1.8(a)

I hereby certify that this correspondence is being deposited on _October 21, 2004_ with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to the Commissioner of Patents, MailStop Amendment, P.O. Box 1450, Alexandria, VA 22313-1450

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Signature Barbara J. Jackson
October 21, 2004
Date

U.S. Department of Commerce, Patent and Trademark Office	Docket No.	Serial No.
(PTO Form 1449 modified)	SRI/3928-9	10/805,729
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Applicant Porras, P.	Confirmation No.: 9573
(Use several sheets if necessary)	Filing Date March 22, 2004	Group 2184
Examiner		

PART A

U.S. Patent Documents							
*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A1	2002/0032717	03/14/2002	Malan et al.	709	105	05/15/2001
	A2	2002/0032793	03/14/2002	Malan et al.	709	232	05/15/2001
	A3	2002/0032880	03/14/2002	Poletto et al.	714	4	08/16/2001
	A4	2002/0035698	03/21/2002	Malan et al.	713	201	05/15/2001
	A5	2002/0138753	09/26/2002	Munson	713	200	03/15/2002
	A6	2002/0144156	10/03/2002	Copeland, III	713	201	01/31/2002
	A7	2003/0037136	02/20/2003	Labovitz et al.	709	224	06/27/2002
	A8	4,672,609	06/1987	Humphrey et al	371	21	
	A9	4,773,028	09/1988	Tallman	364	550	
	A10	5,210,704	05/1993	Husseiny	364	551.01	
	A11	5,440,723	08/08/1995	Arnold et al.	395	181	
	A12	5,539,659	07/1996	McKee, et al.	709	224	
	A13	5,557,742	09/1996	Smaha et al.	395	186	
	A14	5,706,210	01/1998	Kumano et al	709	224	
	A15	5,748,098	05/05/1998	Grace	340	825.16	
	A16	5,790,799	08/1998	Mogul	709	224	
	A17	5,878,420	03/02/1999	De la Salle	707	10	
	A18	5,919,258	07/06/1999	Kayashima et al.	713	201	
	A19	5,922,051	07/1999	Sidey	709	223	
	A20	5,940,591	08/17/1999	Boyle, et al.	395	187.01	
	A21	5,974,237	10/1999	Shurmer et al.	709	224	
	A22	5,974,457	10/1999	Waclawshy et al	709	224	
	A23	5,991,881	11/1999	Conklin et al	713	201	
	A24	6,009,467	12/1999	Ratcliff et al.	709	224	
	A25	6,052,709	04/18/2000	Paul	709	202	
	A26	6,070,244	05/30/2000	Orchier et al.	713	201	
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	A29	6,453,346 B1	09/17/2002	Garg et al.	709	224	
	A30	6,460,141	10/01/2002	Olden	712	201	
	A31	6,519,703	02/11/2003	Joyce	713	201	

Foreign Patent Documents

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							YES	NO
	B1	99/13427	03/18/1999	WIPO	G06K	7/00	☐	☐
	B2	99/57626	11/11/1999	WIPO	G06F	1/16	☐	☐
	B3	00/10278	02/24/2000	WIPO	H04L		☐	☐
	B4	00/25214	05/04/2000	WIPO	G06F	12/14	☐	☐
	B5	00/25527	05/04/2000	WIPO	H04Q	3/00	☐	☐
	B6	00/34867	06/15/2000	WIPO	G06F	11/30	☐	☐
	B7	02/101516	12/19/2002	WIPO	G06F		☐	☐

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	C2	Boyen, et al., "Tractable Inference for Complex Stochastic Processes," Proceedings of the 14th Annual Conference on Uncertainty in Artificial Intelligence (UAI-98), pg 33-42, Madison, WI, July 24-26, 1998
	C3	Cisco Secure Intrusion Detection System 2.1.1 Release Notes, Table of Contents, Release Notes for NetRanger 2.1.1, © 1992-2002, Cisco Systems, Inc., , allegedly posted September 28, 2002, 29 pages, http://www.cisco.com/univercd/cc/td/doc/product/iaabu/csids/csids3/nr11new.htm, printed June 10, 2003
	C4	Cisco Secure Intrusion Detection System, Release 2.1.1, NetRanger User's Guide, Version 2.1.1, © 1998, Cisco Systems, Inc., allegedly released on April 1998, http://www.cisco.com/univercd/cc/td/doc/product/iaabu/csids/csids3/index.htm, printed June 10, 2003, 334 pages, (See CSI document listed at C7 below)
	C5	Copeland, J., "Observing Network Traffic - Techniques to Sort Out the Good, the Bad, and the Ugly," http://www.csc.gatech.edu/~copeland/8843/slides/Analyst-011027.ppt, allegedly 2001
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	C10	Denning, "An Intrusion-Detection Model," SRI International, Menlo Park, CA Technical Report CSL-149, Nov. 1985
	C11	Dowell, "The Computerwatch Data Reduction Tool," AT&T Bell Laboratories, Whippany, New Jersey.
	C12	Farshchi, J., "Intrusion Detection FAQ, Statistical based approach to Intrusion Detection," http://www.sans.org/resources/idfaq/statistic_ids.php, date unknown, printed 7/10/2003
	C13	Fox, et al., "A Neural Network Approach Towards Intrusion Detection," Harris Corporation, Government Information Systems Division, Melbourne, FL, Jul. 2, 1990.
	C14	Garvey, et al., "An Inference Technique for Integrating Knowledge from Disparate Sources," Proc. IJCAI, Vancouver, BC, Aug. 1981, 319-325
	C15	Garvey, et al., "Model-Based Intrusion Detection," Proceedings of the 14th national Computer Security Conference, Washington, DC, Oct. 1991
	C16	Goan, T., "A Cop on The Beat, Collecting and Appraising Intrusion Evidence," Communication of the ACM, 42(7), July 1999, 46-52
	C17	Hartley, B., "Intrusion Detection Systems: What You Need to Know," Business Security Advisor Magazine, Doc # 05257, allegedly dated September 1998, http://advisor.com/doc/05257, 7 pages, printed June 10, 2003
	C18	Heberlein, et al., "A Network Security Monitor," Proceedings of the IEEE Symposium on Security and Privacy, May 07-09 1990, Oakland, CA, pp 296-304, IEEE Press.
	C19	Hurwicz, M., "Cracker Tracking: Tighter Security with Intrusion Detection," BYTE.com, allegedly dated May 1998, http://www.byte.com/art/9805/sec20/art1.htm, 8 pages, printed June 10, 2003
	C20	Ilgun et al., State Transition Analysis: A Rule-Based Intrusion Detection Approach, IEEE Transactions on Software Engineering, vol., 21, No. 3, Mar. 1995
	C21	Internet Security Systems, "Intrusion Detection for the Millennium," ISS Technology Brief, Date Unknown, Pg 1-6
	C22	Jackson, et al., "An Expert System Application For Network Intrusion Detection," Proceedings of the 14th National Computer Security Conference, Washington, DC, 1-4 October 1991.
	C23	Jarvis et al., The NIDES Statistical Component Description and Justification, SRI International Annual Report A010, Mar. 7, 1994.

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	C28	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," Oct. 25, 1998
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	C30	Lunt et al., "A Prototype Real-Time Intrusion-Detection Expert System," Proceedings of the 1988 IEEE Symposium on Security and Privacy, Apr. 1988.
	C31	Lunt et al., "An Expert System to Classify and Sanitize Text," SRI International, Computer Science Laboratory, Menlo Park, CA
	C32	Lunt et al., "Knowledge-Based Intrusion Detection Expert System, "Proceedings of the 1988 IEEE Symposium on Security and Privacy, Apr. 1988.
	C33	Lunt, "A Survey of Intrusion Detection Techniques," Computers & Security, 12 (1993) 405-418
	C34	Lunt, "Automated Audit Trail Analysis and Intrusion Detection: A Survey," Proceedings of the 11th National Computer Security Conference, Baltimore, MD, October 1988.
	C35	Miller, L., "A Network Under Attack, Leverage Your Existing Instrumentation to Recognize and Respond to Hacker Attacks," http://www.netscout.com/files/Intrusion_020118.pdf, Date Unknown, pg 1-8
	C36	Munson, et al., "Watcher: The Missing Piece of the Security Puzzle," Proceedings of the 17th Annual Computer Security Applications Conference (ACSAC'01), December 10-14 2001, New Orleans, LA, pp 230-239, IEEE Press.
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	C38	Paller, A., "About the SHADOW Intrusion Detection System" Linux Weekly News, allegedly dated September 1998, http://lwn.net/1998/0910/shadow.html, 38 pages, printed June 10, 2003
	C39	Pearl, J., "Probabilistic Reasoning in Intelligent Systems: Networks of Plausible Inference," Morgan Kaufmann Publishers, September 1988
	C40	Porras et al, "EMERALD: Event Monitoring Enabling Responses to Anomalous Live Disturbances," 20th NISSC – October 9, 1997.

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	C42	Porras, et al., "Live Traffic Analysis of TCP/IP Gateways," Proc. 1998 ISOC Symp. On Network and Distributed Systems Security, December 12, 1997, 1-13
	C43	R. Power, et al., "CSI Intrusion Detection System Resource", allegedly dated July 1998, http://216.239.57.100/search?q=cache:gvTCojxD6nMJ:www.gocsi.com/ques.htm+site:www.gocsi.com+ques&hl=en&ie=UTF-8, printed June 16, 2003.
	C44	Sebring et al., Expert Systems in Intrusion Detection: A Case Study.
	C45	Shieh et al., A Pattern-Oriented Intrusion-Detection Model and Its Application © 1991 IEEE
	C46	Skinner, "EMERALD TCP Statistical Analyzer 1998 Evaluation Results," http://www.sdl.sri.com/emerald/98-eval-estat/index.html, Allegedly dated July 9, 1999
	C47	Smaha, "Haystack: An Intrusion Detection System: © 1988 IEEE Computer Society Press: Proceedings of the Fourth Aerospace Computer Security Application Conference, 1988, pp. 37-44.
	C48	Snapp et al., "DIDS (Distributed Intrusion Detection System) – Motivation, Architecture and An Early Prototype," Computer Security Laboratory, Division of Computer Science, Unic. Of California, Davis, Davis, CA.
	C49	Snapp, "Signature Analysis and Communication Issues in a Distributed Intrusion Detection System,: Thesis 1991.
	C50	SRI/Stanford, "Adaptive Model-Based Monitoring and Threat Detection," Information Assurance BAA 98-34,
	C51	Staniford-Chen, et al., "GrIDS- A Graph Based Intrusion Detection System for Large Networks," Proceedings of the 19th National Information Systems Security Conference, Volume 1, pp 361-370, October 1996.
	C52	Tener, "Discovery: An Expert System in the Commercial Data Security Environment", Fourth IFIP Symposium on Information Systems Security, Monte Carlo, December 1986.
	C53	Tener, "AI & 4GL: Automated Detection and Investigation Tools, " Computer Security in the Age of Information, Proceedings of the Fifth IFIP International Conference on Computer Security, W.J. Caelli (ed.)
	C54	Teng et al., "Adaptive Real-Time Anomaly Detection Using Inductively Generated Sequential Patterns, " © 1990
	C55	Vaccaro et al., "Detection of Anomalous Computer Session Activity," © 1989 IEEE
	C56	Valdes, A., "Blue Sensors, Sensor Correlation, and Alert Fusion, http://www.raid-symposium.org/raid2000/Materials/Abstracts/41/avaldes_raidB.pdf, October 4, 2000
	C57	Valdes, et al., "Adaptive, Model-based Monitoring for Cyber Attack Detection," Proceedings of Recent Advances in Intrusion Detection 2000 (RAID 2000), H. Debar, L. Me, F. Wu (Eds), Toulouse, France, Springer-Verlag LNCS Volume 1907, pp 80-92, October 2000.

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	C58	Valdes, et al., "Statistical Methods for Computer Usage Anomaly Detection Using NIDES (Next-Generation Intrusion Detection Expert System)," 3rd International Workshop on Rough Sets and Soft Computing, San Jose CA 1995, 306-311
	C59	Weiss, "Analysis of Audit and Protocol Data using Methods from Artificial Intelligence," Siemens AG, Munich, West Germany
	C60	Wimer, S., "The Core of CylantSecure," White Papers, http://www.cylant.com/products/core.html, Date Unknown, Alleged © 1999-2003 Cylant Inc., pgs 1-4
	C61	Winkler, "A UNIX Prototype for Intrusion and Anomaly Detection in Secure Networks," © Planning Research Corp. 1990
	C62	Zhang, et al., "A Hierarchical Anomaly Network Intrusion Detection System using Neural Network Classification," Proceedings of the 2001 WSES International Conference on Neural Networks and Applications (NNA'01), Puerto de la Cruz, Canary Islands, Spain, February 11-15 2001.

PART B

U.S. Patent Documents							
*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A1	5,440,498	08-08-95	Timm	364	516	
	A2	5,475,365	12-12-95	Hoseit et al.	340	522	
	A3	5,517,429	05-14-96	Harrison	364	516	
	A4	5,568,471	10-22-96	Hershey et al.	370	245	
	A5	5,704,017	12-30-97	Heckerman et al.	395	61	
	A6	5,737,319	04-07-98	Croslin et al.	370	255	
	A7	6,092,194	07-18-00	Touboul	713	200	
	A8	6,263,441	07-17-01	Cromer et al	713	200	
	A9	6,279,113	08-21-01	Vaidya, V.	713	201	
	A10	6,311,274	10-30-01	Day	713	201	
	A11	6,321,338	11-20-01	Porras et al	713	201	
	A12	6,353,385	03-05-02	Molini et al.	340	506	
	A13	6,370,648	04-09-02	Diep, T	713	201	
	A14	6,408,391	06-18-02	Huff, et al.	713	201	

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	A15	6,499,107	12-24-02	Gleichauf et al.	713	201	
	A16	6,502,082	12-31-02	Toyama et al.	706	16	
	A17	6,701,459	03-02-04	Ramanathan et al.	714	37	
	A18	6,704,874	03-09-04	Porras et al.	713	201	
	A19	6,707,795	03-16-04	Noorhosseini et al.	370	242	

Foreign Patent Documents

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B1						☐	☐
	B2						☐	☐
	B3						☐	☐

OTHER ART

*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
	C1	Anderson, D. et al., "Next-generation Intrusion Detection Expert System (NIDES) A Summary," May 1995
	C2	Anderson, et al., "Next-generation Intrusion Detection Expert System (NIDES) Software Users Manual", December 1994
	C3	Cheeseman, et al., "Bayesian Classification (AutoClass): Theory and Results," in <u>Advances in Knowledge Discovery and Data Mining</u>, Usama M. Fayyad, Gregory Piatetsky-Shapiro, Padhraic Smyth, & Ramasamy Uthurusamy, Eds. AAAI Press/MIT Press, 1996. pg 61-83
	C4	Decasper, et al., "Router Plugins A Software Architecture for Next Generation Routers," Proceedings of the ACM SIGCOMM '98 conference on Applications, technologies, architectures, and protocols for computer communication, Vancouver, British Columbia, Canada, Pages: 229 – 240
	C5	DuMouchel, W., "Computer Intrusion Detection Based on Bayes Factors for Comparing Command Transition Probabilities," NISS, Technical Report Number 91, February 1999
	C6	Frank, J., "Artificial Intelligence and Intrusion Detection: Current and Future Directions," Division of Computer Science, University of California at Davis, June 1994
	C7	Hoagland, et al., "Viewing IDS Alerts: Lessons from SnortSnarf," In Proceedings of DISCEX II, June 2001, 374-386
	C8	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," in Proceedings of the 1999 Symposium on Security and Privacy, Oakland, CA May 9-12, 1999
	C9	Makris, J., "Firewall Services: More Bark Than Bite," Data Communications, 28 (3), March 1999, 36-50

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	C10	Neumann, et al., "Experience with EMERALD to Date," Proceedings of the Workshop on Intrusion Detection and Network Monitoring, 73 – 80, 1999
	C11	Petersen, K., "IDA- Intrusion Detection Alert," Proc. of the IEEE Annual International Computer Software and Applications Conference, Chicago, IL, Sept. 1992, 306 - 311
	C12	Rowland, C., "Network Attack Trend Analysis," allegedly dated November 22, 1997, Newsgroups: muc.list.bugtraq
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	C14	Complaint for Declaratory Judgment, Internet Security Systems, Inc., v. SRI International, Inc., US District Court, Northern District of Georgia, Civil Action No. 104 CV 2402, filed August 17, 2004
	C15	Complaint for Patent Infringement; Demand for Jury, SRI International, Inc. v. Internet Security Systems, Inc, etal., US District Court, District of Delaware, Case No. 04-1199, Filed August 26, 2004
	C16	The RealSecure 1.2 Manual web.archive.org/web/19970709202745/www.iss.net/eval/manuals.html, alleged dated 9 July 1997
	C17	"Real-time attack recognition and response: A solution for tightening network security", Internet Security Systems, web.archive.org/web/19970721183811/iss.net/prod/whitepaper.html, allegedly dated July 21, 1997
	C18	Roesch, M., "SNORT- Lightweight Intrusion Detection for Networks," Proceedings of LISA '99: 13th Systems Administration Conference, November 7-12, 1999, Seattle, WA 229-238
	C19	Symantec Corporation's Answer and Counterclaims to SRI International, Inc.'s Complaint, SRI International, Inc. v. Internet Security Systems, Inc. etal., US District Court, District of Delaware, Case No. 04-1199, Filed October 15, 2004

Examiner	Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.